

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)

Application Number		10587467
Filing Date		2006-07-24
First Named Inventor	Maruoka	
Art Unit	4644 1624	
Examiner Name	Coleman	
Attorney Docket Number	NANP133US	

U.S. PATENTS

Examiner Initial*	Cite No	Patent Number	Kind Code ¹	Issue Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear
/B.C./	1	6340753		2002-01-22	Maruoka	

If you wish to add additional U.S. Patent citation information please click the Add button.

U.S. PATENT APPLICATION PUBLICATIONS

Examiner Initial*	Cite No	Publication Number	Kind Code ¹	Publication Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear
	1					

If you wish to add additional U.S. Published Application citation information please click the Add button.

FOREIGN PATENT DOCUMENTS

Examiner Initial*	Cite No	Foreign Document Number ³	Country Code ² i	Kind Code ⁴	Publication Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear	T ⁵
** /B.C./	1	2001-48866	JP		2001-02-20	Nagase & Co Ltd		<input checked="" type="checkbox"/>
** /B.C./	2	2003-081976	JP		2003-03-19	Nagase & Co Ltd		<input checked="" type="checkbox"/>
** /B.C./	3	2002-173492	JP		2002-06-21	Nagase & Co Ltd		<input checked="" type="checkbox"/>

** structures only

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**
(Not for submission under 37 CFR 1.99)

Application Number		10587467
Filing Date		2006-07-24
First Named Inventor	Maruoka	
Art Unit	1044 1624	
Examiner Name	Coleman	
Attorney Docket Number	NANP133US	

** /B.C./	4	2002-326992	JP		2002-11-15	Nagase & Co Ltd	<input checked="" type="checkbox"/>
--------------	---	-------------	----	--	------------	-----------------	-------------------------------------

If you wish to add additional Foreign Patent Document citation information please click the Add button [Add](#)

NON-PATENT LITERATURE DOCUMENTS

[Remove](#)

Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.	T ⁵
duplicate	1	BELLIER, et al., Synthesis and Biological Properties of New Constrained CCK-B Antagonists: Discrimination of Two Affinity States of the CCK-B Receptor on Transfected CHO Cells, J. Med. Chem., Vol. 40, No. 24, pp.3947-3956, 1997, Paris, France	<input type="checkbox"/>
/B.C./	2	MOSSEL, et al., Aspartame Dipeptide Analogues: Effect of Number of Side-Chain Methylene Group Spacers and C-Methylation in the Second Position, Tetrahedron Asymmetry, Vol. 8, pp. 1305-1314, 1997	<input type="checkbox"/>
duplicate	3	SHIOHRI, et al., Asymmetric Phase Transfer Catalysis, Stimulating Concepts in Chemistry, pp.123-142, 2000, Japan	<input type="checkbox"/>
/B.C./	4	O'DONNELL, The Preparation of Optically Active α -Amino Acids From the Benzophenone Imines of Glycine Derivatives, M. J. Aldrichimica Acta, Vol. 34, No. 1, pp. 3-15, 2001	<input type="checkbox"/>
duplicate	5	OOL, et al., Practical Catalytic Enantioselective Synthesis of α, γ Dialkyl α-Amino Acids by Chiral Phase Transfer Catalysis, J. Am. Chem. Soc., Vol. 122, pp. 5228-5229, 2000, Japan	<input type="checkbox"/>
duplicate	6	SEKI, et al., A Practical Synthesis of C₂-Symmetric Chiral Binaphthyl Ketone Catalyst, Synthesis, No. 12, pp. 1677-1680, 2000, Japan	<input type="checkbox"/>
duplicate	7	OOL, et al., New Improved Procedure for the Synthesis of Structurally Diverse N-Spiro C₂-Symmetric Chiral Quaternary Ammonium Bromides, J. Org. Chem., Vol. 68, pp. 4576-4578, 2003, Japan	<input type="checkbox"/>
duplicate	8	OOL, et al., Design of N-Spiro C₂-Symmetric Chiral Quaternary Ammonium Bromides as Novel Chiral Phase-Transfer Catalysts: Synthesis and Application to Practical Asymmetric Synthesis of α-Amino Acids, J. Am. Chem. Soc., Vol. 125, No. 17, pp. 5139-5151, 2003, Japan	<input type="checkbox"/>

** structures only

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**
(Not for submission under 37 CFR 1.99)

Application Number		10587467
Filing Date		2006-07-24
First Named Inventor	Maruoka	
Art Unit	1044 1624	
Examiner Name	Coleman	
Attorney Docket Number	NANP133US	

duplicate	9	OOI, et al., Molecular Design of a C2-Symmetric Chiral Phase-Transfer Catalyst for Practical Asymmetric Synthesis of α-Amino Acids, J. Am. Chem. Soc., Vol. 121, No. 27, pp. 6519-6520, 1999, Japan	<input type="checkbox"/>
/B.C./	10	ABBOTT, et al., Electrochemical Recognition of Charged Species Using Quaternary Ammonium Binaphthyl Salts, A. P., Analyst, Vol. 126, No. 11, pp. 1892-1896, 2001 UK	<input type="checkbox"/>
duplicate	11	STARA, et al., Nucleophilic Cleavage of 4,5-Dihydro-3H-dinaphth[2,1-c:1',2'-e]azepinium Quaternary Salts. A Convenient Approach to New Axially Dissymmetric and Axially Asymmetric Ligands, J. Org. Chem., Vol. 57, No. 25, pp. 6966-6969, 1992, Czechoslovakia	<input type="checkbox"/>
/B.C./	12	STARA, et al., Stereochemical Dichotomy in the Stevens Rearrangement of Axially Twisted Dihydroazepinium and Dihydrothiepinium Salts. A Novel Enantioselective Synthesis of Pentahelicene, J. Am. Chem. Soc., Vol. 116, No. 12, pp. 5084-5088, 1994	<input type="checkbox"/>
/B.C./	13	STARA, et al., 4,5-Dihydro-4-alkyl-3H-dinaphtho[2,1-c:1'2'-e]thiepinium Salts. A Convenient Approach to New 2,2'-Bidentate 1,1'-Binaphthalene Ligands with Sulfur Donor Atoms, J. Org. Chem., Vol. 59, No. 6, pp.1326-1332, 1994	<input type="checkbox"/>
/B.C./	14	STARA, et al., Optically Pure (S)- AND (R)-4,5-Dihydro-3H-4-Methyldinaphth[2,1-c; 1',2'-e]Azepines. Application to the Synthesis of New Bidentate Ligands with Axial Asymmetry, Tetrahedron: Asymmetry, Vol. 3, No. 11, PP. 1365-1368, 1992, Great Britian	<input type="checkbox"/>
/B.C./	15	COTTINEAU, et al., Reductive Cleavage of Axially Dismmetric Tertiary Amines and Quaternary Ammonium Salts by Lithium Aluminium Hydride. Synthesis of New 1,1'-Binaphthyl Substituted Amines, Tetrahedron Letters, Vol. 26, No. 4, pp. 421-424, 1985, Great Britian	<input type="checkbox"/>
duplicate	16	DI BARI, et al., Conformational Study of 2,2'-Homosubstituted 1,1'-Binaphthyls by Means of UV and CD Spectroscopy, J. Am. Chem. Soc., Vol. 121, No. 35, pp. 7998-8004, 1999, Italy	<input type="checkbox"/>
duplicate	17	SHI, et al., Synthesis of Axially Dissymmetric Chiral Ammonium Salts by Quaternization of Secondary Amines with (R)-(+)-2,2'-Bis(bromomethyl)-6,6'-dinitrobiphenyl and (R)-(+)-2,2'-Bis(bromomethyl)-1,1'-binaphthyl and an Examination of Their Abilities as Chiral Phase-transfer Catalysts, Journal of Chemical Research, Synopses, No. 2, pp. 46-47, 1995, Japan	<input type="checkbox"/>
/B.C./	18	MASON, et al., Optical Activity in the Biaryl Series, Tetrahedron, Vol. 30, No. 12, PP. 1671-1682, 1974, Great Britian	<input type="checkbox"/>
duplicate	19	KANO, et al., Design of New Polyamine-based Chiral Phase-Transfer Catalysts for the Enantioselective Synthesis of Phenylalanine, Tetrahedron: Asymmetry, Vol. 15, No. 8, pp. 1243-1245, 2004, Japan	<input type="checkbox"/>

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**
(Not for submission under 37 CFR 1.99)

Application Number		10587467
Filing Date		2006-07-24
First Named Inventor	Maruoka	
Art Unit	1614 1624	
Examiner Name	Coleman	
Attorney Docket Number	NANP133US	

duplicate	20	IKUNAKA, et al., A Scalable Synthesis of (R)-3,5-Dihydro-4H-dinaphth[2,1-c:1'2']elazepine, Organic Process Research & Development, Vol. 7, No. 5, pp. 644-648, 2003, Japan	<input type="checkbox"/>
/B.C./	21	KITAMURA, et al., Powerful Chiral Phase-Transfer Catalysts for the Asymmetric Synthesis of α -Alkyl- and α,α -Dialkyl- α -amino Acids, Angew. Chem. Int. Ed., Vol. 44, pp. 1549-1551, 2005	<input type="checkbox"/>
/B.C./	22	International Search Report for PCT/JP2005/001623, Dated March 22, 2005	<input type="checkbox"/>
/B.C./	23	International Preliminary Examination Report for PCT/JP2005/001623 Dec. 7, 2005	<input type="checkbox"/>

If you wish to add additional non-patent literature document citation information please click the Add button

EXAMINER SIGNATURE

Examiner Signature	/Brenda Coleman/	Date Considered	10/13/2009
--------------------	------------------	-----------------	------------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through a citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ See Kind Codes of USPTO Patent Documents at www.USPTO.GOV or MPEP 901.04. ² Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). ³ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁴ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁵ Applicant is to place a check mark here if English language translation is attached.

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**
(Not for submission under 37 CFR 1.99)

Application Number	10587467
Filing Date	2006-07-24
First Named Inventor	Maruoka
Art Unit	1044 1624
Examiner Name	Coleman
Attorney Docket Number	NANP133US

CERTIFICATION STATEMENT

Please see 37 CFR 1.97 and 1.98 to make the appropriate selection(s):

☐ That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(1).

OR

☐ That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(2).

☐ See attached certification statement.

☐ Fee set forth in 37 CFR 1.17 (p) has been submitted herewith.

☒ None

SIGNATURE

A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.

Signature	/Greg Turocy/	Date (YYYY-MM-DD)	2006-10-04
Name/Print	Gregory Turocy	Registration Number	36952

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1 hour to complete, including gathering, preparing and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

Privacy Act Statement

The Privacy Act of 1974 (P.L. 93-579) requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

The information provided by you in this form will be subject to the following routine uses:

1. The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether the Freedom of Information Act requires disclosure of these records.
2. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.
3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.
4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).
5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.
6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspections or an issued patent.
9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.